

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) McHugh, Carolyn B.	2. Court or Organization 10th Circuit Court of Appeals	3. Date of Report 07/23/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full Time - Appellate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 125 South State Street 4201 Federal Building Salt Lake City, Utah 84138-1122		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 2005	State of Utah - Defined Benefit Pension Plan
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

2. _____

3. _____

4. _____

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*DATESOURCE AND TYPE

1. 2018

Sentry Financial Corporation - salary

2. _____

3. _____

4. _____

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Wells Fargo Cash Accounts	A	Interest	M	T					
2. Hercules Federal Credit Union	A	Interest	M	T					
3. Voya Whole Life	A	Interest	M	T					
4. 401(k) #1									
5. -Invesco Stable Value Fund	C	Int./Div.			Sold	10/17/18	M		
6. -Janus Triton N	D	Int./Div.			Sold	10/17/18	M		
7. -Virtus Real Estate Securities 1	E	Int./Div.			Sold	10/17/18	M		
8. -American Funds Washington Mut. R5	E	Int./Div.			Sold	10/17/18	N		
9. -Black Rock Equity Dividend Inst 1	E	Int./Div.			Sold	10/17/18	N		
10. -JP Morgan Large Cap Growth R5	E	Int./Div.			Sold	10/17/18	N		
11. -Mainstay Large Cap Growth-1	E	Int./Div.			Sold	10/17/18	N		
12. -American Beacon Small Cap Val Inst	E	Int./Div.			Sold	10/17/18	M		
13. -T. Rowe Price International Discove	C	Int./Div.			Sold	10/17/18	L		
14. -Franklin Mutual Global Discovery Z	C	Int./Div.			Sold	10/17/18	L		
15. -American Funds Europacific Growth R5	D	Int./Div.			Sold	10/17/18	M		
16. -Prudential Total Return Bond Z	D	Int./Div.			Sold	10/17/18	N		
17. -Oppenheimer Developing Markets Y	A	Int./Div.			Sold	10/17/18	L		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. -Government Fund (SEOXX)	A	Int./Div.			Buy	10/24/18	P1		
19.					Sold	10/25/18	P1		
20.					Buy	11/21/18	K		
21.					Sold	11/23/18	J		
22.					Buy	12/6/18	J		
23.					Sold	12/7/18	J		
24. -Small Cap Fund (SLLAX)		None			Buy	10/24/18	M		
25. -Mid-Cap Fund (SEMCX)	B	Int./Div.			Buy	10/24/18	M		
26. -Multi-Asset Income Fund (SIOAX)	B	Int./Div.			Buy	10/24/18	K		
27. -Core Fixed Income Fund (TRLVX)	D	Int./Div.			Buy	10/24/18	O		
28.	A				Buy (add'l)	12/06/18	J		
29. -Int'l Equity Fund (SEITX)	D	Int./Div.			Buy	10/24/18	N		
30.	A				Buy (add'l)	11/21/18	J		
31. -Multi-Asset Inflation Managed Fund (SIFAX)	B	Int./Div.			Buy	10/24/18	L		
32. -S&P 500 Index Fund (SSPIX)	C	Int./Div.			Buy	10/24/18	M		
33. -Large Cap Fund (SLGAX)	D	Int./Div.			Buy	10/24/18	N		
34. -High Yield Bond (SHYAX)	D	Int./Div.			Buy	10/24/18	M		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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35. -Multi-Strategy Alt Fun (SMSAX)	A	Int./Div.			Buy	10/24/18	M		
36. -Emerging Mkts Equity Fund (SIEMX)	A	Int./Div.			Buy	10/24/18	M		
37. -Multi-Asset Accumulation Fund (SAAAX)	D	Int./Div.			Buy	10/24/18	M		
38. -Emerging Mkts Debt Fund (SITEX)	C	Int./Div.			Buy	10/24/18	M		
39. -Dynamic Asset Allocation Fund (SDYAX)	B	Int./Div.			Buy	10/24/18	M		
40. -Int'l Equity Fund (SEITX)	D	Int./Div.			Buy	11/21/18	J		
41. -Government Fund (SEOXX)	A	Int./Div.			Sold	11/23/18	J		
42. -Core Fixed Incomd Fund (TRLVX)	B	Int./Div.			Buy	12/06/18	J		
43. -Government Fund (SEOXX)					Sold	12/07/18	J		
44. Zions Cash Accounts	C	Interest	O	T					
45. Chase Cash Accounts	A	Interest	N	T					
46. Utah Educational Savings Plan Accounts	A	Int./Div.	J	T					
47. Health Savings Account	A	Interest	K	T					
48. Sentry 401(k) - Principal SAM Conservative Growth R3 (USD) (PCGPX)(X)	D	Int./Div.	O	T					
49. SFY IRAs									
50. -Large Cap Fund (SLGAX)	A	Int./Div.	M	T					
51. - Mid-cap Fund (SEMCX)	A	Int./Div.	K	T					

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52. -International Equity Fund (SEITX)	B	Int./Div.	L	T					
53. -Small Cap Fund (SLLAX)	A	Int./Div.	K	T					
54. -S&P 500 Index Fund (SSPIX)	A	Int./Div.	K	T					
55. -Core Fixed Income Fund (TRLVX)	C	Int./Div.	M	T					
56. -Emerging Mkts Equity Fund (SIEMX)	A	Int./Div.	K	T					
57. -Multi-Strategy Alt Fund (SMSAX)	A	Int./Div.	J	T					
58. -High Yield Bond Fund (SHYAX)	B	Int./Div.	K	T					
59. -Emerging Mkts Debt Fund (SITEX)	A	Int./Div.	K	T					
60. -Government Fund (SEOXX)	A	Int./Div.	J	T					
61. -Multi-Asset Accum Fund (SAAAX)	B	Int./Div.	K	T					
62. -Multi-Asset Inflation Managed Fund (SIFAX)	A	Int./Div.	K	T					
63. -US Fixed Income Fund (SUFAX)		None			Merged (with line 55)	08/13/18	K		
64. -Dynamic Asset Alloc Fund (SDYAX)	A	Int./Div.	K	T					
65. -Multi-Asset Income Fund (SIOAX)	A	Int./Div.	J	T					
66. Sentry Financial Corporation		None	P2	U					
67. Sentry Capital Co.	F	Int./Div.	L	U					
68. Sentry Investments	G	Int./Div.	P1	U					

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69. Sentry Investments II	D	Int./Div.	M	U					
70. Sentry Investments III	B	Int./Div.	J	U					
71. SLC Innovation District I, LLC	A	Int./Div.	J	U					
72. Liberty Park Pulp LLC	A	Int./Div.	J	U					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Line 2: The financial institution/credit union name was changed in 2018. This year's report indicates my account in Hercules Federal Credit Union (which was formerly known and reported as Associated Fed. Employees Credit Union).

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Carolyn B. McHugh

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544